

Schedule 33

LIQUOR CONTROL COMMISSION

JANUARY 22, 2008

Nebraska Records Management Division
440 South 8th Street, Suite 210
Lincoln, NE 68508
(402) 471-2559

**REQUEST FOR APPROVAL
OF RECORDS RETENTION
AND DISPOSITION SCHEDULE**

SCHEDULE

33

AGENCY, BOARD OR COMMISSION

Liquor Control Commission

DIVISION, BUREAU OR OTHER UNIT

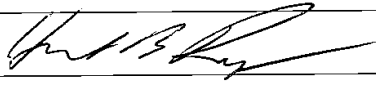
**TO: STATE RECORDS ADMINISTRATOR
STATE OF NEBRASKA**

Supersedes Edition June 12, 2000

PART I -- AGENCY STATEMENT

In accordance with Section 84-1212.01, R.R.S. 1943, approval of the attached records retention and disposition schedule by the State Records Administrator is hereby requested. Retention periods and dispositions have been recommended by this agency after a careful evaluation of all factors listed in Section 84-1212.01, R.R.S. 1943.

SIGNATURE



TITLE

Executive Director

DATE

1-7-08

PART II - ARCHIVAL APPROVAL

The attached schedule has been analyzed, all archival and historical material has been properly identified, no disposition except by transfer to the State Archives has been recommended for such material, and this schedule is approved as submitted.

SIGNATURE

Andrew I. Faling

STATE ARCHIVES

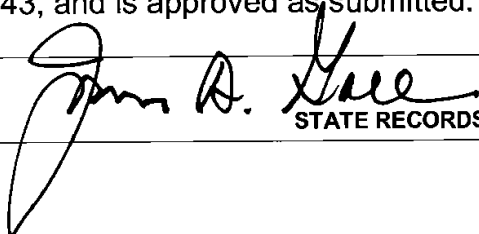
DATE

Jan. 10, 2008

PART III -- APPROVAL BY STATE RECORDS ADMINISTRATOR

The attached schedule has been reviewed in accordance with Section 84-1212.01, R.R.S. 1943, and is approved as submitted.

SIGNATURE



STATE RECORDS ADMINISTRATOR

DATE

Jan. 22, 2008

INSTRUCTIONS FOR USING THIS SCHEDULE

Records retention and disposition schedules are designed to serve as your records management guidelines for storing and disposing of agency records, regardless of the media on which they reside. This schedule was written specifically for records unique to your office and the State Agencies General Records Schedule #124 contains those records common to most state government agencies. These retention schedules, which are approved by the State Records Administrator, provide your only ongoing authority to dispose of records. Listed below are some basic procedures to follow when applying your schedule.

DISPOSING OF RECORDS

1. Check your schedules to see what the retention period is. Note: Your agency's unique schedule will take precedence over State Agencies General Records Schedule #124 for any items which have differences in retention requirements.
2. Dispose of records that have met their retention periods.
3. Complete a Records Disposition Report for the records you dispose. The Records Disposition Report form is the last page of this schedule. Remove the form, photocopy it, complete the form, make a photocopy for your records, and send the completed form to the Records Management Division at the address below. If you wish, you may receive this form electronically by contacting the Records Management Division. This report establishes that the destruction was performed in your normal course of business.

Please remember to retain the blank form for future use.

NON-SCHEDULED RECORDS

Contact a Records Management Specialist in Records Management to see whether the records will fit under an item already on the schedule. If they do not, they must be retained until they are added to the next revision of your schedule.

SCHEDULE UPDATE

It is the responsibility of each agency to periodically update their schedule. A Records Management Specialist in Records Management can assist you with the schedule update, which may involve adding new records series and making revisions to existing items. Keeping your schedule current will ensure you have the ongoing authority to dispose of records when their useful life has ended.

QUESTIONS

If you have any questions about these procedures, please contact your agency Records Officer or your Records Management Specialist in Records Management. We will help you with any questions the schedule may present, including: transferring records to the State Records Center or State Archives, microfilming records, scanning records, etc.

**Records Management Division
440 South 8th Street, Suite 210
Lincoln, NE 68508-2294
402-471-2559**

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SCHEDULE 33 – LIQUOR CONTROL COMMISSION

33-2 ENFORCEMENT

33-2-1 CERTIFIED CARDS

Returned certified cards from applicants whose fingerprint cards were rejected.

Dispose of after 2 years, provided audit has been completed.¹

33-2-3 INSPECTION WARNING FORM

Alcohol/Tobacco Enforcement Division inspection/warning form State Patrol investigators license inspections.

ORIGINAL RECORD: Scan to CD and destroy.

ELECTRONIC RECORD: Dispose of after 10 years.²

CD COPY: Dispose of after 10 years.

SECURITY CD: Transfer to the State Records Center; dispose of after 10 years.

33-2-4 LICENSE STATISTICS (OBSOLETE 2007)

Active license holder statistics – printed from internet.

ORIGINAL RECORD: Dispose of after 2 years.

ELECTRONIC RECORD: Dispose of after 2 years.²

33-3 LEGAL

33-3-3 CASE REPORTS

Case reports/files include violation report from enforcement, notice of hearings, subpoenas, letters, suspension notices, orders, and miscellaneous documents sent to and received from licensees, applicants and other interest entities.

ORIGINAL RECORD: Scan all records to CD.

NON-CONTESTED: Scanned; dispose after final order issued.

CONTESTED CASES: Scanned; dispose of 4 years after final order.

APPEALED CONTESTED CASES: Scanned; dispose of after case is closed/settled.

ELECTRONIC RECORD: Dispose of after 10 years provided case is closed/settled.²

CERTIFIED CARDS: Dispose of after 2 years provided case is closed/settled in District Court.

CD COPY: Dispose of after 10 years provided case is closed/settled.

SECURITY CD: Transfer to State Records Center; dispose of after 10 years provided case is closed/settled.

33-4 LICENSING

33-4-1 ACTIVE ROSTER, C & NON-C

Computer report is issued as needed and lists all current licensee holders by class alphabetically by town. Includes name and number of licensee and county.

CLASS C: Dispose of when superseded.

NON-CLASS C: Dispose of when superseded.

33-4-6 LICENSEE RECORDS

All license applications and supporting documents. May include new applications, additions, manager changes and trade name changes.

ORIGINAL RECORD: Scan to CD and destroy.

ELECTRONIC RECORD: Dispose of after 10 years.²

CD COPY: Dispose of after 10 years.

SECURITY CD: Transfer to the State Records Center; dispose of after 10 years.

33-5 REVENUE

33-5-1 AUDIT REPORTS, WHOLESALERS AND RETAILERS

Audit reports done by Liquor Control Commission annually on wholesalers and retailers of alcoholic beverages. Working papers are filed with the audit reports.

Dispose of after 5 years.

33-5-2 BEER DISTRIBUTORS MONTHLY REPORTS (OBSOLETE 2006)

Includes wholesaler's monthly report and detailed monthly report of sales.

Transfer to the State Records Center after 1 year; dispose of after 3 years, provided audit has been completed.¹

33-5-5 BEER INVOICES (OBSOLETE 2006)

Beer shipment invoices which were received with Beer Tax Reports but separated from the reports for physical convenience.

Dispose of after 2 years, provided audit has been completed.¹

33-5-6 BEER SHIPPER REPORT

Monthly beer shipper reports and invoices on shipments purchases and sales reports attached to the tax return.

Dispose of after 2 years, provided audit has been completed.¹

33-5-8 BEER TAXES / LIQUOR TAXES LEDGER (OBSOLETE 2006)

Record of beer and liquor taxes on gallonage from beer shippers and liquor wholesalers; after September 1, 1988 from beer and liquor wholesalers.

Transfer to the State Records Center after 1 year; dispose of after 10 years, provided audit has been completed.¹

33-5-3 BEER WHOLESALER/DISTRIBUTORS MONTHLY TAX REPORT (Formerly BEER DISTRIBUTORS TAX REPORT)

Monthly beer tax return with supporting schedules.

Dispose of after 2 years, provided audit has been completed.¹

3-5-20 CASH AND INVESTMENT DAILY RECORDS (OBSOLETE 2006)

Includes all law books, newsletters, activity reports, keg registration data including keg books log-in program "Keg Reg", Keg Register Form, and Annual Keg Review for Legislature, miscellaneous/licensee listing, sales tax reports, detailed deposit listings, posted transactions, general ledgers, general documents, etc. Also may contain daily computer report which provides beginning balance, net activity of cash receipts, transfers, warrants written, ending balance, and investment account.

ORIGINAL RECORD: Transfer to the State Records Center after 1 year; dispose of after 2 years, provided audit has been completed.¹

DISK: Dispose of after 1 year.

33-5-11 CREDIT CONTROL LEDGER (Obsolete 2006)

Record of credit on taxes paid.

Transfer to the State Records Center after 1 year; dispose of after 10 years, provided audit has been completed.¹

**33-5-12 GENERAL DOCUMENT (DAS-02-11) (OBSOLETE 1999)
(formerly 33-4-5 – GENERAL DOCUMENT)**

Used to create or liquidate encumbrances, cancel warrants, record receipts, correct entries, and record inter-fund transactions. Includes "Detailed Deposit Listing" (shadow program under NIS).

Dispose of after 3 years, provided audit as been completed.¹

**33-5-10 GENERAL DOCUMENTS/DETAILED DEPOSIT LISTING (formerly
CASH JOURNAL)**

Shows all monies deposited to the State Treasurer from the Revenue Division, (keg and law books, active license roster, photo copies, and fine forms).

Dispose of after 2 years, provided audit has been completed.¹

33-5-22 GENERAL LEDGER REPORTS

General cash and school fund check monthly account numbers and deposit amounts.

Dispose of after 2 years, provided audit has been completed.¹

33-5-21 LOGIN SHEETS, FRONT DESK (OBSOLETE 2004)

Internal log of documents carrying payment of fees for licensing.

Immediately dispose of obsolete records.

33-5-16 MONTHLY GALLONAGE STATISTICAL REPORT

Commission's report of total gallonage of alcoholic beverages received and sold in Nebraska during the year, and revenue collected through beer and liquor taxes, licensing fees, fines, etc.

Dispose of 1 year following the end of the fiscal year to which the records pertain and after the records no longer have reference value, provided audit has been completed.¹

33-5-18 NON-BEVERAGE ALCOHOL REPORTS

Monthly reports, receipt and usage.

Dispose of after 2 years, provided audit has been completed.¹

33-5-23 SPIRIT AND WINE DIRECT SHIPPER ANNUAL TAX REPORT

Beer, spirits and wine annual tax return with supporting documentation.

Dispose of after 2 years, provided audit has been completed.¹

33-5-15 SPIRIT AND WINE SHIPPER REPORTS (formerly LIQUOR SHIPPER REPORTS)

Spirit and wine monthly reports and invoices on shipments to wholesalers/distributors.

Dispose of after 2 years, provided audit has been completed.¹

33-5-13 SPIRIT AND WINE WHOLESALERS/DISTRIBUTORS MONTHLY TAX REPORT (formerly LIQUOR DISTRIBUTORS MONTHLY REPORT)

Spirit and wine monthly tax return with supporting documentation.

Dispose of after 2 years, provided audit has been completed.¹

33-5-19 WHOLESALE LIQUOR RECEIVERS (formerly WHOLESALE LIQUOR RECEIVERS SLIPS)

Spirits and wine wholesalers receivers.

Dispose of after 2 years, provided audit has been completed.¹

DELETED RECORDS

33-1-1	AUTOMOBILE LIST (OBSOLETE SEPTEMBER 1999)
33-1-2	MONTHLY MILEAGE LOG (OBSOLETE SEPTEMBER 1999)
33-2-2	COMPLAINTS FORM (OBSOLETE SEPTEMBER 1999)
33-3-1	DISTRICT COURT CASE FILES (OBSOLETE SEPTEMBER 1999)
33-3-2	HEARING CONTROL CARDS (OBSOLETE SEPTEMBER 1999)
33-4-7	RETAIL LICENSEE LISTS (OBSOLETE SEPTEMBER 1999)
33-5-4	BEER IMPORT REPORTS (OBSOLETE SEPTEMBER 1999)
33-5-7	BEERSHIPPER TAX REPORT/RECORDS (OBSOLETE SEPTEMBER 1999)
33-5-9	BONDED CARRIER LIQUOR REPORT (OBSOLETE 1999)
33-5-14	LIQUOR IMPORT REPORTS (OBSOLETE SEPTEMBER 1999)
33-5-17	MONTHLY REPORTS OF CREDIT (OBSOLETE SEPTEMBER 1999)

NOTE

1. These records may be disposed of after the required retention period provided the audit of the Comprehensive Annual Financial Report (CAFR) is complete and any required federal audit is complete and all related audit comments have been resolved. Check with the organization that performed the audit, either the Auditor of Public Accounts or the federal cognizant agency, if there is a question whether resolution is complete.

2. Electronic Records (including E-mail): Includes backup copies of electronic records for the purpose of data recovery/business continuity (but not archiving). Liquor Control Commission has DAS-CIO provide this service. Additionally, all storage (on backups) is provided by DAS-CIO. Tapes will be maintained and then overwritten or destroyed following these rotations:
SERVERS & E-MAIL:

Daily: Dispose of after 7 days.

Weekly: Dispose of after 4 weeks.

Monthly: Dispose of after 1 year.

Disaster Recovery: Dispose of after 3 weeks.

RECORDS DISPOSITION REPORT

TO: SECRETARY OF STATE RECORDS MANAGEMENT DIVISION 440 S. 8TH STREET SUITE 210 LINCOLN, NE 68508-2294	AGENCY
	DIVISION
	SUB-DIVISION

REQUIRED INFORMATION:

In accordance with the Records Management Act, records of this agency have been disposed of under the authorization granted by the following schedule(s):

SCHEDULE NUMBER(S) ONLY (DO NOT INCLUDE SECTION AND ITEM NUMBERS)	TOTAL VOLUME DISPOSED (SEE REVERSE)

OPTIONAL INFORMATION (FOR YOUR USE ONLY):

You may include detailed information which will be useful to you in recording exactly what records were disposed of and under what authority. This might include such things as schedule section and item numbers, title of records, inclusive dates of records, etc. This information is not required to be filed with Records Management.

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DATE	SIGNATURE
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SEND ORIGINAL TO RECORDS MANAGEMENT. MAKE A PHOTOCOPY FOR YOUR RECORDS.

RMA 03006D

VOLUME ESTIMATING GUIDE

(PLEASE NOTE THAT FOR REPORTING PURPOSES, AN ESTIMATE OF THE TOTAL VOLUME OF MATERIAL DISPOSED IS ADEQUATE.)

Container	Cubic Feet	Weight (lbs)	Sheets of Paper (8.5" x 11")	Electronic Data Equivalent
			1	20 Kb
			52	1 Mb (1024 Kb)
			53,687	1 Gb (1024 Mb)
N/A	N/A	2,204 lbs (1 metric ton)	220,000	4.1 Gb
Records center carton	1 Cu. Foot	16.66 lbs	1,667	32 Mb
Vertical File Cabinet, 4 drawer letter-size	6 Cu. Feet	100 lbs	10,000	190 Mb
Vertical File Cabinet, 4 drawer legal-size	8 Cu. Feet	133.3 lbs	13,333	254 Mb
About a pickup load	50 Cu. Feet	7,500 lbs	748,638	14 Gb